

PTO/SB/21 (08-03)

Approved for use through 08/30/2003. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

IFW

**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

Application Number	10/807,532
Filing Date	March 23, 2004
First Named Inventor	Misty AZARA et al.
Art Unit	2644
Examiner Name	NOT YET ASSIGNED
Attorney Docket Number	FX/A3007Q1-317004

Total Number of Pages in This Submission

17 refs

**ENCLOSURES (Check all that apply)**

- |   |  |   |
|---|--|---|
| <input type="checkbox"/> Fee Transmittal Form<br><input type="checkbox"/> Fee Attached<br><input type="checkbox"/> Amendment/Reply<br><input type="checkbox"/> After Final<br><input type="checkbox"/> Affidavits/declaration(s)<br><input type="checkbox"/> Extension of Time Request<br><input type="checkbox"/> Express Abandonment Request<br><input checked="" type="checkbox"/> Information Disclosure Statement<br><input type="checkbox"/> Certified Copy of Priority Document(s)<br><input type="checkbox"/> Response to Missing Parts/<br>Incomplete Application<br><input type="checkbox"/> Response to Missing Parts<br>under 37 CFR 1.52 or 1.53 | <input type="checkbox"/> Drawing(s)<br><input type="checkbox"/> Licensing-related Papers<br><input type="checkbox"/> Petition<br><input type="checkbox"/> Petition to Convert to a<br>Provisional Application<br><input type="checkbox"/> Power of Attorney, Revocation<br>Change of Correspondence Address<br><input type="checkbox"/> Terminal Disclaimer<br><input type="checkbox"/> Request for Refund<br><input type="checkbox"/> CD, Number of CD(s) _____ | <input type="checkbox"/> After Allowance communication<br>to Technology Center (TC)<br><input type="checkbox"/> Appeal Communication to Board<br>of Appeals and Interferences<br><input type="checkbox"/> Appeal Communication to TC<br>(Appeal Notice, Brief, Reply Brief)<br><input type="checkbox"/> Proprietary Information<br><input type="checkbox"/> Status Letter<br><input checked="" type="checkbox"/> Other Enclosure(s) (please<br>Identify below):<br>1 PTO-1449;<br>17 references |
|---|--|---|

Remarks

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm or Individual name	Christian Austin-Hollands (Reg. No. 46,527) Customer Number 52825 Tel. 415.762.9543
Signature	
Date	March 20, 2006

**CERTIFICATE OF TRANSMISSION/MAILING**

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Typed or printed name

Signature

Date

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Appl. No. : 10/807,532  
Applicants : Misty AZARA et al.  
Filed : March 23, 2004  
TC/A.U. : 2644  
Examiner : NOT YET AVAILABLE  
Docket No. : FX/A3007Q1-317004  
Customer No. : 52725

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

Pursuant to 37 C.F.R. 1.56, the attention of the Patent and Trademark Office is hereby directed to the reference(s) and information listed on the attached PTO-1449 Form. One legible copy of each is attached to the PTO-1449 Form. It is respectfully submitted that the references and information be expressly considered during the prosecution of this application, and that the references be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

☒ 1. This Information Disclosure Statement is being filed (a) within three months of the U.S. filing date of the above application (which is not a CPA), OR (b) before the mailing date of a first Office Action on the merits. No certification or fee is required.

☐ 2. This Information Disclosure Statement is being filed more than three months after the U.S. filing date AND after the date of the first Office Action on the merits, but before the mailing date of a Final Rejection, Notice of Allowance, or other action that closes prosecution. Please debit Xerox Corporation Deposit Account 24-0037 in the amount of \$180.00 in payment of the fee under 37 C.F.R. 1.17(p). (A copy of this letter is attached.)

☐ 3. This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Rejection or Notice of Allowance; AND

☐ a. I hereby certify that each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. 1.97(e)(1); OR

☐ b. I hereby certify that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge, after making reasonable inquiry, was known to any individual designated in 37 C.F.R. 1.56(c), more than three months prior to the filing of this Information Disclosure Statement 37 C.F.R. 1.97(e)(2).

☐ 4. This Information Disclosure Statement is being filed after the mailing date of a Final Rejection or Notice of Allowance, but before the payment of the Issue Fee. Please debit Xerox Corporation Deposit Account 24-0037 in the amount of \$180.00 in payment of the fee under 37 C.F.R. 1.17(p). (A copy of this letter is attached.) AND

☐ a. I hereby certify that each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. 1.97(e)(1); OR

☐ b. I hereby certify that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my

knowledge, after making reasonable inquiry, was known to any individual designated in 37 C.F.R. 1.56(c), more than three months prior to the filing of this Information Disclosure Statement 37 C.F.R. 1.97(e)(2).

☐ 5. Per 37 C.F.R. 1.98(a)(3), a concise explanation of the relevance of each of any submitted item that was not in the English language is either enclosed herewith, or incorporated in the application specification.

☐ 6. A copy of an English language version of an above-referenced counterpart foreign application search report is attached.

☐ 7. Copies of some or all of the subject references were cited by, or submitted to the Office in related parent Application No. \_\_\_\_\_, filed \_\_\_\_\_, which is relied upon under 35 U.S.C. § 120. Thus, copies of these references are not attached (except for copies of cited pending applications). 37 C.F.R. §1.98(d).

Respectfully submitted,



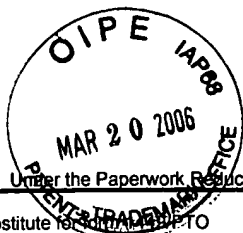
Christian Austin-Hollands

Registration No. 46,527

Date: March 20, 2006

**CHRISTIAN AUSTIN-HOLLANDS ESQ.**  
**P.O. Box 170325**  
**San Francisco, CA 94117**  
**Telephone: (415) 762.9543**

DEPOSIT ACCOUNT USE AUTHORIZATION Please grant any extension necessary for entry; charge any fee due to Deposit Account No. 50-3023
--



<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)		<b>Complete if Known</b>	
		Application Number	10/807,532
		Filing Date	March 23, 2004
		First Named Inventor	Misty AZARA et al.
		Art Unit	2644
		Examiner Name	
Sheet 1	of 3	Attorney Docket Number	FX/A3007Q1-317004

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		Levow, G., "Prosodic Cues to Discourse Segment Boundaries in Human-Computer Dialogue", in 5th SIGdial Workshop on Discourse and Dialogue Boston, April 30 and May 1, 2004.	
		Lascarides, A. and Oberlander, J., "Temporal Coherence and Defeasible Knowledge", Theoretical Linguistics, 19.1, pp. 1-35, Walter de Gruyter, Berlin, New York, 1993.	
		"CHATR: A Generic Speech Synthesis System", December 25, 1997, downloaded from <a href="http://feast.atr.jp/chatr/manual/index.html">http://feast.atr.jp/chatr/manual/index.html</a> 3/16/2006.	
		"HCRC Project: ID4S Intonation in Dialogue for Speech Recognition", downloaded from <a href="http://www.hcrc.ed.ac.uk/Site/IDS4.html">http://www.hcrc.ed.ac.uk/Site/IDS4.html</a> 6/2/2004.	
		Nuance Say Anything Grammars product description, downloaded from <a href="http://cafe.bevocal.com/docs/grammar/sayanthing.html">http://cafe.bevocal.com/docs/grammar/sayanthing.html</a> 6/2/2004.	
		Ljolje, A., "The AT&T LVCSR-2001 System", May 3, 2001, downloaded from <a href="ftp://jaguar.ncsl.nist.gov/evaluations/hub5/may01/pres/att_lvcsr.pdf">ftp://jaguar.ncsl.nist.gov/evaluations/hub5/may01/pres/att_lvcsr.pdf</a> 3/16/2006.	
		DARPA Communicator Project: Robust Recognition and Dialog Tracking for Interactive Information Access, March 2003, downloaded from <a href="http://ssli.ee.washington.edu/projects/communicator.html">http://ssli.ee.washington.edu/projects/communicator.html</a> 3/15/2006.	
		Ayers, G.M., 1992. "Discourse functions of pitch range in spontaneous and read speech." Presented at the Linguistic Society of America Annual Meeting.	
		Brown, G. and Kenworthy, J. 1980 Questions of Intonation, Baltimore, University Park Press, p. 21-122.	

Examiner Signature	Date Considered
--------------------	-----------------

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.  
1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.  
This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 120 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)		<b>Complete if Known</b>	
		Application Number	10/807,532
		Filing Date	March 23, 2004
		First Named Inventor	Misty AZARA et al.
		Art Unit	2644
		Examiner Name	
Sheet 2	of 3	Attorney Docket Number	FX/A3007Q1-317004

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		Kamp, H. 1981. "A Theory of of Truth and Semantic Representation." in J.A.G. Groenendijk, T. Jannssen, and M. Stokhof (eds.) Formal Methods in the Study of Language. Amsterdam: Mathematisch Centrum, 277-322.	
		Ladd, D.R. 1983, "Phonological Features of Intonation Peaks", Language, 59:721-759.	
		Ladd, D.R. 1988. "Declination Reset and the Hierarchical Organization of Utterances" Journal of the Acoustical Society of America, 84(2):530-544.	
		Mariani, J.; Proubeck, P., 1999 "Language Technologies Evaluation in the European Framework", Proceedings of the DARPA Broadcast News Workshop, Washington: Morgan Kaufman Publishers, pp. 237-242.	
		Nakatani, C.; Hirschberg, J.; and Grosz, 1995. "Discourse Structure in Spoken Language: Studies on Speech Corpora." In Working Notes of the AAAI-95 Spring Symposium in Palo Alto, CA in Empirical Methods in Discourse Interpretation. pp. 106-112.	
		Polanyi, L.; and Sch, R., 1984. "A syntactic approach to discourse semantics." Proceedings of the 10th International Conference on Computational Linguistics, Stanford, CA 413-419.	
		Silverman, K.; Beckman, M.; Pierrehumbert, J.; Ostendorf, M.; Wightman, C.; Price, P.; and Hirschberg, J. 1992. "ToBI: A standard scheme for labeling prosody." In Proceedings of ICSLP. Banff: International Conference on Spoken Language Processing.	
		Terken, J. 1984. "The distribution of pitch accents in instructions as a function of discourse structure." Language and Speech, 27:269-289.	

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 120 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

**(Use as many sheets as necessary)**

Sheet	3	of	3
-------	---	----	---

**Complete if Known**

Application Number	10/807,532
Filing Date	March 23, 2004
First Named Inventor	Misty AZARA et al.
Art Unit	2644
Examiner Name	
Attorney Docket Number	FX/A3007Q1-317004

## U. S. PATENT DOCUMENTS

[illegible]

**FOREIGN PATENT DOCUMENTS**

[illegible]

**Examiner  
Signature**

Date  
Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.<sup>1</sup> Applicant's unique citation designation number (optional).<sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04.<sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3).<sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.<sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible.<sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

*If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.*